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Estimates in respect of special political missions, good offices and other political initiatives authorized by the General Assembly and/or the Security Council

Thematic cluster II: sanctions monitoring teams, groups and panels

Analytical Support and Sanctions Monitoring Team pursuant to resolutions 1526 (2004) and 2253 (2015) concerning ISIL (Da'esh), Al-Qaida and the Taliban and associated individuals and entities

Implementation of Security Council resolution 2231 (2015)

Report of the Advisory Committee on Administrative and Budgetary Questions

I. Introduction

1. The Advisory Committee on Administrative and Budgetary Questions considered the report of the Secretary-General on estimates in respect of special political missions, good offices and other political initiatives authorized by the General Assembly and/or the Security Council (A/70/348/Add.9). The report contains the proposed additional resource requirements for the Analytical Support and Sanctions Monitoring Team pursuant to resolutions 1526 (2004) and 2253 (2015) concerning Islamic State in Iraq and the Levant (ISIL) (Da'esh), Al-Qaida and the Taliban and associated individuals and entities for 2016 and the proposed resource requirements for 2016 for the implementation of Council resolution 2231 (2015). During its consideration of the report, the Advisory Committee met representatives of the Secretary-General, who provided additional information and clarification, concluding with written responses provided on 3 March 2016.

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II. Analytical Support and Sanctions Monitoring Team

2. In paragraphs 1 to 5 of his report, the Secretary-General provides information on the background, mandate and objectives of the Analytical Support and Sanctions Monitoring Team. As indicated, in its resolution 2253 (2015), the Security Council, among other things:

(a) Expanded the mandate of the Security Council Committee pursuant to resolutions 1267 (1999) and 1989 (2011) concerning Al-Qaida and associated individuals and entities and decided that it would thenceforth be known as the "Security Council Committee pursuant to resolutions 1267 (1999), 1989 (2011) and 2253 (2015) concerning Islamic State in Iraq and the Levant (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities", and that the Committee's sanctions list would thenceforth be known as the "ISIL (Da'esh) and Al-Qaida Sanctions List" (resolution 2253 (2015), para. 1);

(b) Called for up to two new experts on the Monitoring Team, together with the additional administrative and analytical support resources needed to increase its capacity and strengthen its ability to analyse ISIL (Da'esh) financing, radicalization and recruitment, and attack planning activities, as well as support the resulting increased activities of the sanctions committee by the Secretariat (ibid., para. 90);

(c) Directed the Secretariat, with the assistance of the Monitoring Team, to build and maintain the data model approved by the sanctions committee, with a view to its completion by June 2017, and requested the Secretary-General to provide additional resources in that regard (ibid., para. 48);

(d) Expanded the functions and tasks of the Ombudsperson to cover ISIL (Da'esh) (ibid., para. 54 and annex II).

3. The mandated tasks of the Monitoring Team are set out in paragraph 2 of the report of the Secretary-General. The report also provides information on cooperation with other entities (paras. 6-8) and sets out the revised planning assumptions for 2016 (paras. 9-16).

4. The Secretary-General indicates that the expansion of the mandate of the Monitoring Team has increased the activities of the Monitoring Team, in particular with regard to ISIL (Da'esh), in addition to the related workload in terms of substantive, information systems and administrative support. The expected areas of increased activity entailing the need for Secretariat support include meeting support; updating of the list database; the issuing and updating of INTERPOL-United Nations Security Council Special Notices for listed names; the issuing of notes verbales to Member States and press releases; the preparation and dispatch of notification letters to relevant States; the upkeep of the sanctions committees' websites; the drafting of tables of recommendations based on Monitoring Team reports; and the drafting of the sanctions committees' position papers (para. 13). Upon enquiry, the Advisory Committee was provided with additional information on the projected increase in outputs for the Monitoring Team (see annex).

5. The Advisory Committee was informed that, since the establishment of the sanctions committee under resolution 1267 (1999) in 1999 and the Monitoring Team in 2004, their mandates had been steadily expanded by the Security Council. In 2011, that sanctions committee had been split into two separate committees, one focused on Al-Qaida globally and the other on the Taliban and its associates in

Afghanistan, and the Security Council Affairs Division of the Department of Political Affairs of the Secretariat had been tasked to provide support to both committees and to the Monitoring Team. In 2014 and 2015, the Council had further expanded the mandates in a series of resolutions focusing on regional situations in the Syrian Arab Republic, Libya and the rest of Africa,[1] and to include further specific iterations of the sanctions measures to better target the threat of foreign terrorist fighters and terrorist links with transnational organized crime and natural resources, in particular oil and antiques trafficking from the Syrian Arab Republic.[2] Lastly, in December 2015, the Council had again expanded those mandates to better address the threat posed by ISIL (Da'esh).[3] The Advisory Committee was further informed that support was currently being provided by three staff (1 P-5, 1 P-2, 1 General Service (Other level)) from within the existing staff of the Division.

Proposed additional resource requirements

6. The proposed additional requirements for 2016 are estimated at $1,968,300 (net of staff assessment), to provide for 10 additional positions (3 P-4, 3 P-3, 4 General Service) to provide substantive and administrative support to the sanctions committee, the Monitoring Team and the Office of the Ombudsperson ($852,400); expert fees ($326,000) for the two additional experts; expert travel ($145,300) to cover the travel of the experts and the Ombudsperson; official travel of staff ($99,900); facilities and infrastructure ($229,600); communications ($5,700); information technology services ($306,400); and other supplies and services ($3,000).

7. The proposed 10 additional positions would be based in New York to provide the following functions:

Support to the sanctions committee

(a) One Political Affairs Officer (P-4) would be responsible for the organization of Secretariat services to the sanctions committee;

(b) One Political Affairs Officer (P-3) would assist in the organization of those services;

(c) One Administrative Assistant (General Service (Other level)) would support the Political Affairs Officers in the organization of those services and ensure the distribution of procedural notes for the Chair of the sanctions committee;

Support to the Monitoring Team

(d) Two Political Affairs Officers (1 P-4, 1 P-3) would provide substantive support with regard to mandated tasks relating to ISIL (Da'esh);

(e) One Administrative Assistant (General Service (Other level)) would be responsible for the organization of Secretariat services;

Development and maintenance of the enhanced data model

(f) One Political Affairs Officer (P-4) would oversee the development, management and substantive maintenance of an enhanced data model for the ISIL

[1] Resolutions 2170 (2014) (Syrian Arab Republic), 2195 (2014) (Africa) and 2214 (2015) (Libya).
[2] Resolutions 2178 (2014) (foreign terrorist fighters) and 2199 (2015) (natural resources).
[3] Resolution 2253 (2015).

(Da'esh) and Al-Qaida Sanctions List and the Consolidated United Nations Security Council Sanctions List, as required under paragraph 48 of Security Council resolution 2253 (2015);

(g) One Information Systems Officer (P-3) would be responsible for developing detailed system and other functional specifications and user documentation for the enhanced data model;

(h) One Information Systems Assistant (General Service (Other level)) would be responsible for providing basic technical support for relevant hardware and software systems applications, and installing application systems, software and hardware according to specifications;

(i) One Administrative Assistant (General Service (Other level)) would enter electronic data, for implementing updates and generating, reviewing and publishing the two sanctions lists.

8. A staffing complement of 12 positions (1 P-5, 2 P-4, 3 P-3, 6 General Service (Other level)) approved in 2015 provides substantive and administrative support to the Monitoring Team and the Office of the Ombudsperson. Until the adoption of resolution 2253 (2015), the Monitoring Team comprised nine experts (see A/70/348/Add.9, para. 2). The Secretary-General proposes a total of 22 positions (1 P-5, 5 P-4, 6 P-3, 10 General Service (Other level)) to support the Monitoring Team, which will, pursuant to paragraph 90 of the resolution, comprise 11 experts. Upon enquiry, the Advisory Committee was informed that the existing 12 positions comprised 2 positions (1 P-4, 1 General Service (Other level)) in support of the Office of the Ombudsperson and 10 (1 P-5, 1 P-4, 3 P-3, 5 General Service (Other level)) in support of the Monitoring Team.

9. **The Advisory Committee is of the view that the functions of the additional position of Administrative Assistant (General Service (Other level)) proposed in support of the Monitoring Team (see para. 7 (e) above) can be provided from within existing capacity and therefore recommends against its approval by the General Assembly. Any related non-post resources should be adjusted accordingly. The Committee recommends the approval of the remaining proposals for post and non-post resources.**

Enhanced data model

10. In paragraph 14 of his report, the Secretary-General refers to the enhanced data model as a complex multi-year information technology development project. Upon request for additional clarification regarding the project, the Advisory Committee was informed that the enhanced data model was intended to facilitate better sanctions implementation by Member States, the private sector and other relevant international and regional organizations and would introduce significant improvements to the current model in use by all sanctions committees. The improvements included greater flexibility by enabling the addition of new classes of data and extensive use of data reference tables; the entry of structured rather than free-form data for elements such as dates, locations, identities, aliases and events, thereby reducing ambiguity and subjective interpretation of sanctions data; and the use of improved identity search technology and international naming conventions. The Committee was also informed that, while the concept of the enhanced data model had been adopted by the sanctions committee, the model itself and the related

application needed to be developed on the basis of extensive consultations, taking into account the current system. The system to be developed would also be subject to rigorous testing before the migration of data from the current database and the dissemination of information. The Committee was further informed that, once completed, the enhanced data model would be implemented for all sanctions committees. **The Advisory Committee expects that the model and related system will be designed and developed in a manner that ensures that the same system can be reused for all sanctions committees without duplication of effort, in the most cost-effective manner possible.**

11. With regard to the proposed resource requirements, the Advisory Committee notes that, in addition to the proposed staffing of four positions (see paras. 7 (f)-7 (i) above), the Secretary-General is proposing a provision of $280,000 under information technology to cover the development of the enhanced data model. Upon request for a breakdown of that amount, the Committee was informed that it comprised software development service fees for two software developers for nine work-months each ($240,000), a one-time software licence fee ($10,000) and requirements for servers and data storage ($30,000).

12. The Advisory Committee was informed that the proposed four additional staff members (1 P-4, 1 P-3 and 2 General Service (Other level)) would be responsible for the development and maintenance of the enhanced data model. **The Advisory Committee is of the view that there is a need to establish a detailed project plan setting out the resources required by year and skill set during each phase of the project, together with plans for the decommissioning of existing systems to be replaced by the new system and release of related resources. In this regard, the Committee questions the continued requirement for four positions for the maintenance and operation of the system after the completion of the development and roll-out phases, in particular for positions such as Information Systems Officer and Information Systems Assistant. Accordingly, the Committee recommends that the General Assembly request the Secretary-General to keep the project under review and to present in the next budget submission information on the various phases of the project, differentiating between the post and non-post resources required during each phase and for the operation of the system, and to adjust the proposals for resource requirements as appropriate.**

13. Upon enquiry, the Advisory Committee was informed that the project plan was in line with the United Nations information and communications technology strategy. With regard to the procurement and development of the application, the Committee was informed that, on the basis of an initial assessment by the Office of Information and Communications Technology of the Secretariat, software developers would be sourced from among the Office's existing service providers with such expertise. Furthermore, systems contracts had already been put in place for all software required for the project, and licences for the required products would be allocated to the Department of Political Affairs by the Office.

14. In this regard, the Advisory Committee recalls that one of the key objectives of the information and communications technology strategy is to reduce the high level of fragmentation of application development across the Secretariat, and that enterprise application centres have been established in New York, Vienna and Bangkok to address the issue (see A/70/364 and Corr.1 and A/70/7/Add.18). **The Advisory**

Committee stresses the need to ensure that the acquisition, development and maintenance of any new systems or applications are fully aligned with the information and communications technology strategy, that the systems do not duplicate or overlap with existing systems or ongoing projects and that they are approved in compliance with the relevant internal procedures and standards. The Committee expects the Secretary-General to provide assurances to the General Assembly in this regard in the context of the next budget submission.

III. Implementation of Security Council resolution 2231 (2015)

15. Information on the background, mandate and objective with regard to the implementation of Security Council resolution 2231 (2015) on the Iranian nuclear issue is given in paragraphs 21 to 27 of the report of the Secretary-General.

16. As indicated, in that resolution the Security Council endorsed the Joint Comprehensive Plan of Action on the Iranian nuclear issue, agreed upon on 14 July 2015, which included the establishment of a joint commission. The Council also decided to undertake directly tasks related to the implementation of the resolution, including tasks specified in annex B to the resolution. The practical arrangements and procedures for the Council to undertake those tasks, in particular with regard to the restrictions specified in annex B, were set forth in a note by the President of the Council dated 16 January 2016 (S/2016/44), in which the Secretary-General was requested to report to the Council every six months on implementation. To facilitate its work under the resolution, the Council will annually select one of its members to act as a facilitator for the functions specified in the note. In the note, the Council also requested the Security Council Affairs Division to act as a point of contact in the Secretariat and support the work of the Council and its facilitator.

17. In this regard, the Advisory Committee was informed that the three key functions to be performed by the Secretariat were to support the work of the Security Council and its facilitator as they directly undertook all tasks relating to the implementation of the resolution; to receive, circulate, transmit and track proposals for nuclear and dual-use-related transfers to the Islamic Republic of Iran submitted to the Council through a procurement channel process established under the Joint Comprehensive Plan of Action; and to monitor the implementation of the restrictive measures imposed under the resolution and present relevant findings and recommendations in biannual reports to the Council. The Committee was also informed that the Security Council Affairs Division had not previously been called upon to support the work of the Council in a similar manner, and would have to adapt its current procedures.

18. The Advisory Committee was informed that the number of yearly proposals estimated to be submitted through the procurement channel could range from several hundred to several thousands. For 2016, however, the Secretariat had adopted a conservative approach and estimated that no more than 180 proposals would be submitted.

Proposed resource requirements

19. The proposed requirements for 2016 are estimated at $1,342,900 (net of staff assessment) to provide for 11 positions (1 P-5, 5 P-4, 2 P-3, 3 General Service (Other level)) for substantive and administrative support ($961,900); the travel of

representatives ($14,200); the official travel of staff ($111,900); facilities and infrastructure ($184,000); communications ($9,600); information technology services ($52,300); and other supplies and services ($9,000).

20. The proposed 11 positions would be based in New York to provide the following functions:

(a) One Senior Political Affairs Officer (P-5) would be responsible for directing the work of the team providing technical, procedural and administrative support to the Security Council and the facilitator in undertaking the tasks relating to the implementation of resolution 2231 (2015);

(b) One Political Affairs Officer (P-4) would be responsible for the procedural and administrative support provided to the Security Council and the facilitator in its implementation of the resolution, in particular the work on the procurement channel;

(c) Four Political Affairs Officers (P-4) would assist the Security Council in monitoring the implementation of the resolution in the technical areas of nuclear-related restrictions (which would last up to 10 years), ballistic missile-related restrictions (which would last up to eight years), arms-related restrictions (which would last up to five years) and financial measures, including an asset freeze (which would last up to eight years) and travel bans (which would last up to five years). They would present relevant findings and recommendations in the biannual reports of the Secretary-General;

(d) One Political Affairs Officer (P-3) would liaise with the facilitator in organizing and supporting informal meetings of the Security Council and in managing all incoming and outgoing communications relating to the implementation of the resolution, in addition to assisting the facilitator in corresponding with Member States on behalf of the Council;

(e) One Coordination Officer (P-3) would be responsible for developing and maintaining systems to track the proposals for nuclear-related transfers or activities submitted to the Security Council through the procurement channel and for processing them in accordance with the procedures and timelines specified in the resolution;

(f) One Meeting Services Assistant (General Service (Other level)) would assist the team in providing procedural and administrative support to the Security Council and the facilitator, including making all arrangements necessary for informal meetings of the Council, open briefings with Member States and outreach activities;

(g) One Administrative Assistant (General Service (Other level)) would assist in processing the proposals for nuclear-related transfers or activities submitted to the Security Council through the procurement channel. She or he would sort, consolidate and enter data in relevant information management tools and draft related official correspondence and other communications;

(h) One Administrative Assistant (General Service (Other level)) would provide administrative support to the team, including preparing and processing administrative requests and documents relating to the travel of the facilitator and members of the team and undertaking other administrative duties.

21. **The Advisory Committee recommends the approval of the proposals of the Secretary-General for the implementation of Security Council resolution 2231 (2015).**

IV. Conclusions and recommendations

22. **The action requested of the General Assembly is set out in paragraph 40 of the report of the Secretary-General. Taking into account its recommendation in paragraph 9 above, the Advisory Committee recommends that the Assembly:**

(a) Take note of the report of the Secretary-General;

(b) Approve additional resources in the total amount of $3,228,100 net ($3,485,300 gross), for:

(i) The Analytical Support and Sanctions Monitoring Team ($1,885,200 net ($1,998,000 gross));

(ii) The implementation of Security Council resolution 2231 (2015) ($1,342,900 net ($1,487,300 gross));

(c) Authorize the use for the implementation of Security Council resolution 2231 (2015) of the projected unspent balance in the amount of $2,317,600 (net of staff assessment) following the termination of the Panel of Experts on the Islamic Republic of Iran;

(d) Approve a charge totalling $910,500 (net of staff assessment) against the provision for special political missions appropriated under section 3, Political affairs, of the programme budget for the biennium 2016-2017.

Annex

Projected increase in outputs for the Analytical Support and Sanctions Monitoring Team

	Current	*Projected increase*	*Total projected*
Comprehensive reports to the committees	3	3	6
Country visit reports	20	15	35
Reports on the participation of the Monitoring Team in meetings of international organizations and other meetings	12	6	18
Recommendations to the committees and to the Security Council on actions aimed at promoting or modifying the sanctions regime	20	45	65
Narrative summaries of reasons for listing names on relevant sanctions lists	20	160	180
Proposals for revision of the documents on the committees' websites	14	41	55
Presentations to the committees on the results of country visits	20	15	35
Cooperation projects to broaden engagement with international, regional and subregional organizations on matters pertinent to the work of the relevant committees	9	6	15
Updated information packages for Member States on the sanctions regimes, the sanctions measures and the work and procedures of the committees	2	10	12
Regional meetings for security and intelligence services on the ISIL (Da'esh) and Al-Qaida threat and the implementation of the sanctions regime	2	1	3
Letters to States and relevant bodies seeking in-depth information on delisting petitions received	100	20	120
Reports to the Security Council	2	0	2
Communications to petitioners and listed persons and entities	80	20	100
Comprehensive case reports in relation to delisting petitions	30	0	30